

Substitute for Form PTO-1390		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER 1031309-000011	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/536,720	
				PRIORITY DATE CLAIMED 18 December 2002 (18.12.2002)	
INTERNATIONAL APPLICATION NO. PCT/EP2003/014408		INTERNATIONAL FILING DATE 17 December 2003 (17.12.2003)			
TITLE OF INVENTION HIGHLY CONCENTRATED SELF-EMULSIFYING PREPARATIONS CONTAINING ORGANOPOLYSILOXANES AND ALKYLAMMONIUM COMPOUNDS AND USE THEREOF IN AQUEOUS SYSTEMS					
APPLICANT(S) FOR DO/EO/US SANDNER, Bernhard; STANICA (formerly SCHEDLOWSKI), Cristina; and JIANG, Longying					
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:					
<p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission to items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (22) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto.</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>Items 11 to 21 below concern document(s) or information included:</p> <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A FIRST preliminary amendment.</p> <p>14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821 - 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information:</p> <p style="margin-left: 20px;">1) Petition for Extension of Time</p> <p style="margin-left: 20px;">2) Petition Pursuant to 37 C.F.R. 1.182</p> <p style="margin-left: 20px;">3) Copy of Notification of Defective Response</p> <p style="margin-left: 20px;">4) Declaration of second inventor in Support of Petition Under 37 C.F.R. 1.182 and Copy German Registry of Name Change</p>					

RECEIVED

25 JUL 2006

Legal Staff  
International Division

21. ☐ Applicant(s) requests that the published application include the following assignment information:

**CALCULATIONS PTO USE ONLY**

22. ☒ The following fees are submitted:

Basic Filing Fee (1631)

\$ 0.00

Surcharge of \$130.00 (1617) for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).

☐ 20 ☒ 30

\$ 130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total Claims	-20 =	0	x \$50.00 (1615)	\$ 0.00
Independent Claims	-3 =	0	x \$200.00 (1614)	\$ 0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00 (1616)	
Examination Fee			+ \$200.00 (1633)	\$ 0.00
Search Fee			+ \$400.00 (1632)	\$ 0.00

App. Size Fee (add \$250.00 for each add'l 50 sheets exceeding 100 sheets)

TOTAL OF ABOVE CALCULATIONS = \$ 130.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.

+ \$ 0.00

SUBTOTAL = \$ 130.00

Processing fee of \$130.00 (1618) for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492(f)).

☐ 20 ☐ 30

\$ 0.00

TOTAL NATIONAL FEE = \$ 130.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 (8021) per property +

TOTAL FEES ENCLOSED = \$ 130.00

Amount to be refunded :

charged :

a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 02-4800 in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

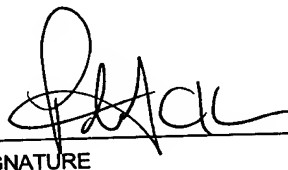
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-4800. A duplicate copy of this sheet is enclosed.

d. ☒ Charge \$ 130.00 to credit card. Form PTO-2038 is attached.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Buchanan Ingersoll PC  
Including attorneys from Burns, Doane, Swecker & Mathis  
P.O. Box 1404  
Alexandria, Virginia 22313-1404  
(703) 836-6620



SIGNATURE

Patrick C. Keane

NAME

32,858

May 17, 2006

REGISTRATION NO.

DATE



## UNITED STATES PATENT AND TRADEMARK OFFICE

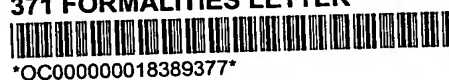
UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO. 10/536,720	FIRST NAMED APPLICANT Bernhard Sandner	ATTY. DOCKET NO. 031309-011
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21839  
BUCHANAN INGERSOLL PC  
(INCLUDING BURNS, DOANE, SWECKER & MATHIS)  
POST OFFICE BOX 1404  
ALEXANDRIA, VA 22313-1404

INTERNATIONAL APPLICATION NO. PCT/EP03/14408	
I.A. FILING DATE 12/17/2003	PRIORITY DATE 12/18/2002

CONFIRMATION NO. 4354  
371 FORMALITIES LETTER



\*OC000000018389377\*

Date Mailed: 03/28/2006

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495)

- Priority Document
- Copy of the International Application filed on 05/27/2005
- English Translation of the IA filed on 05/27/2005
- Copy of the International Search Report filed on 05/27/2005
- Copy of IPE Report filed on 05/27/2005
- Preliminary Amendments filed on 05/27/2005
- Information Disclosure Statements filed on 05/27/2005
- Oath or Declaration filed on 01/27/2006
- U.S. Basic National Fees filed on 05/27/2005
- Priority Documents filed on 05/27/2005
- Specification filed on 05/27/2005
- Claims filed on 05/27/2005
- Abstracts filed on 05/27/2005

Applicant's response filed 01/27/2006 is hereby acknowledged. The following requirements set forth in the NOTIFICATION of MISSING REQUIREMENTS mailed 12/16/2005 have not been completed.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - The last name of the second inventor is different than that which is on the IA. Please provide a corrected declaration or an explanation of the name change.

Applicant is required to complete the response within a time limit of **ONE MONTH** from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing

*Missing Parts Due 4-16-06*

Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

KAREN R MCLEAN

Telephone: (703) 308-9140 EXT 214

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/536,720	PCT/EP03/14408	031309-011

FORM PCT/DO/EO/916 (371 Formalities Notice)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of	)	
Bernhard SANDNER et al.	)	Group Art Unit: Unassigned
Application No.: 10/536,720	)	Examiner: Unassigned
Filed: May 27, 2005	)	Confirmation No.: 4354
For: HIGHLY CONCENTRATED SELF- EMULSIFYING PREPARATIONS CONTAINING ORGANOPOLYSILOXANES AND ALKYLAMMONIUM COMPOUNDS AND USE THEREOF IN AQUEOUS SYSTEMS	)	

**DECLARATION OF CRISTINA STANICA IN SUPPORT  
OF PETITION UNDER 37 C.F.R. § 1.182**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I, Cristina STANICA, declare as follows:

I am a named inventor of the above-captioned application and, at the time of filing this application, my legal name was Cristina SCHEDLOWSKI.

Subsequent to a divorce, my legal name was changed to my original family name, Cristina STANICA.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 10001 of Title 18 of the United States Code and that such willful and

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false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 16.05.2006

C. Stanica  
Cristina STANICA

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# Beglaubigte Abschrift

Standesamt I in Berlin



Standesamt I in Berlin • Ruckerstraße 9 • 10119 Berlin

Standesamt I in Berlin

Dienstgebäude:  
Ruckerstraße 9  
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Zimmer

Frau  
Cristina Stanica (früher: Schedlowski)  
Alpenstr. 3  
82515 Wolfratshausen

Bearbeiter  
Hr. Martens

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Intern: 9207

Telefax (030)  
90207-245  
Intern: 9207

Datum  
09.07.2003

Geschäftszeichen  
III 8-A25-231-2003  
Bei Antwort bitte angeben

<b>Bescheinigung über die Namensführung</b>	
bisheriger Familienname (ggf. Geburtsname)	
<b>Schedlowski geb. Stanica -/-</b>	
Vorname(n)	
<b>Cristina Ioana -/-</b>	
Anschrift	
<b>Wolfratshausen, Alpenstr. 3</b>	
<b>Stanica -/-</b>	
Datum der Wirksamkeit: <b>06. Januar 2003</b>	
Folgende Kinder führen den Familiennamen als Geburtsnamen:	
<b>-/-</b>	
*) Hinweis: Die Bescheinigung bezieht sich ausschließlich auf die Führung des neuen Familiennamens. Die bisherige Namensführung wurde unter Umständen nicht überprüft.	

Der Standesbeamte

(Siegel)



Vorstehende Abschrift (Kopie)  
stimmt mit der Urschrift überein

Wolfratshausen, den 09. Juli 2003

**Notar**

